Please type a plus sign (+) inside this box → [+]

PTO/SB/05 (11-00)
Approved for use through 10/31/02. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
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# UTILITY PATENT APPLICATION TRANSMITTAL

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

| | |
|---|---|
| *Attorney Docket No.* | 204552030100 |
| *First Inventor* | Hirotoshi TAKEMORI |
| *Title* | SEMICONDUCTOR LASER DEVICE CONTAINING LASER DRIVER AND ELECTRONIC EQUIPMENT HAVING THE SAME |
| *Express Mail Label No.* | (labelno) |

U.S.PTO 10/678181 22389 100603

## APPLICATION ELEMENTS

*See MPEP chapter 600 concerning utility patent application contents.*

1. [X] Fee Transmittal Form (e.g. PTO/SB/17) *(Submit an original, and a duplicate for fee processing)*
2. [ ] Applicant claims small entity status. See 37 CFR 1.27.
3. [X] Specification [*Total Pages* 42 ] *(preferred arrangement set forth below)*
   - Descriptive title of the Invention
   - Cross Reference to Related Applications
   - Statement Regarding Fed sponsored R & D
   - Reference to sequence listing, a table, or a computer program listing appendix
   - Background of the Invention
   - Brief Summary of the Invention
   - Brief Description of the Drawings *(if filed)*
   - Detailed Description
   - Claim(s)
   - Abstract of the Disclosure
4. [X] Drawing(s) *(35 USC 113)* [*Total Sheets* 11 ]
5. Oath or Declaration [*Total Pages* 3 ]
   - a. [X] Newly executed (original or copy)
   - b. [ ] Copy from a prior application (37 CFR 1.63(d)) *(for continuation/divisional with Box 18 completed)*
     - i. [ ] DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. [X] Application Data Sheet. See 37 CFR 1.76

*ADDRESS TO:* **Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450**

7. [ ] CD-ROM or CD-R in duplicate, large table or Computer Program *(Appendix)*
8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
   - a. [ ] Computer Readable Form (CRF)
   - b. Specification Sequence Listing on:
     - i. [ ] CD-ROM or CD-R (2 copies); or
     - ii. [ ] paper
   - c. [ ] Statements verifying identify of above copies

## ACCOMPANYING APPLICATION PARTS

9. [X] Assignment Papers (cover sheet & Assignment 3 pages)
10. [ ] 37 CFR 3.73(b) Statement *(where there is an assignee)* [ ] Power of Attorney
11. [ ] English Translation document (if applicable)
12. [X] Information Disclosure Statement (IDS)/PTO-1449 and 1 reference [X] Copies of IDS Citations
13. [ ] Preliminary Amendment
14. [X] Return Receipt Postcard (MPEP 503) *Should be specifically itemized)*
15. [X] Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. [ ] Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. [ ] Other

**18. If a CONTINUING APPLICATION**, *check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:*

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: *

Prior application information: Examiner * Group / Art Unit: (group)

**For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.**

## 19. CORRESPONDENCE ADDRESS

☐ *Customer Number or Bar Code Label*

**25227**

*(Insert Customer No. or Attach bar code label here)*

or ☐ *Correspondence address below*

| | | | | | |
|---|---|---|---|---|---|
| *Name* | | | | | |
| *Address* | | | | | |
| *City* | | *State* | | *Zip Code* | |
| *Country* | | *Telephone* | (703) 760-7743 | *Fax* | |

| | | | |
|---|---|---|---|
| *Name (Print/Type)* | Barry E. Bretschneider | *Registration No. (Attorney/Agent)* | (regno) 28,055 |
| *Signature* | | *October 6, 2003* | |

va-46070

PTO/SB/17 (09-00)
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# FEE TRANSMITTAL FOR FY 2003

*Patent fees are subject to annual revision.*

| TOTAL AMOUNT OF PAYMENT | $810.00 |
|---|---|

**Complete if Known**

| | |
|---|---|
| Application Number | NEW APPLICATION |
| Filing Date | October 6, 2003 |
| First Named Inventor | Hirotoshi TAKEMORI |
| Examiner Name | Not Yet Assigned |
| Group Art Unit | Not Yet Assigned |
| Attorney Docket No. | 204552030100 |

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 03-1952

Deposit Account Name: Morrison & Foerster LLP

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ **Payment Enclosed:**

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Fee Code | Entity Fee ($) | Small Fee Code | Entity Fee ($) | Fee Description | Fee Paid |
|---|---|---|---|---|---|
| 1001 | 770 | 201 | 385 | Utility filing fee | 770 |
| 1002 | 340 | 206 | 170 | Design filing fee | |
| 1003 | 530 | 207 | 265 | Plant filing fee | |
| 1004 | 770 | 208 | 385 | Reissue filing fee | |
| 1005 | 160 | 214 | 80 | Provisional filing fee | |

SUBTOTAL (1) $ 770.00

### 2. EXTRA CLAIM FEES

| | | | Extra Claims | | Fee from below | | Fee Paid |
|---|---|---|---|---|---|---|---|
| Total Claims | 15 | - 20 = | | x | | = | $ |
| Independent Claims | 1 | - 3 = | | x | | = | $ |
| Multiple Dependent | | | | | | = | $ |

| Large Fee Code | Entity Fee ($) | Small Fee Code | Entity Fee ($) | Fee Description |
|---|---|---|---|---|
| 1202 | 18 | 203 | 9 | Claims in excess of 20 |
| 1201 | 86 | 202 | 43 | Independent claims in excess of 3 |
| 1203 | 290 | 204 | 145 | Multiple dependent claims, if not paid |
| 1204 | 86 | 209 | 43 | **Reissue independent claims over original patent |
| 1205 | 18 | 210 | 9 | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) ($

** or number previously paid, if greater; For reissues, see above.

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large Fee Code | Entity Fee ($) | Small Fee Code | Entity Fee ($) | Fee Description | Fee Paid |
|---|---|---|---|---|---|
| 1051 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 1052 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 1053 | 130 | 139 | 130 | Non-English specification | |
| 1812 | 2,520 | 147 | 2,520 | For filing a request for *ex parte* reexamination | |
| 1804 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 1805 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 1251 | 110 | 215 | 55 | Extension for reply within first month | |
| 1252 | 400 | 216 | 200 | Extension for reply within second month | |
| 1253 | 920 | 217 | 460 | Extension for reply within third month | |
| 1254 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 1255 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 1401 | 320 | 219 | 160 | Notice of Appeal | |
| 1402 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 1403 | 280 | 221 | 140 | Request for oral hearing | |
| 1451 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 1452 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 1453 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 1501 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 1502 | 460 | 243 | 230 | Design issue fee | |
| 1503 | 620 | 244 | 310 | Plant issue fee | |
| 1460 | 130 | 122 | 130 | Petitions of the Commissioner | |
| 1807 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 1806 | 180 | 126 | 180 | Submission of Information Disclosure Stmt | |
| 8021 | 40 | 581 | 40 | Recording each patent assignment per properties (times number of properties) | $ 40.00 |
| 1809 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.129(a)) | |
| 1810 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.129(b)) | |
| 1801 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 1802 | 900 | 169 | 900 | Request for expedited examination of a design application | |

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) $ 40.00

## SUBMITTED BY

Complete *(if applicable)*

| Name (Print/Type) | Barry E. Bretschneider | Registration No. (Attorney/Agent) | 28,055 | Telephone | (703) 760-7743 |
|---|---|---|---|---|---|
| Signature | | | | Date | October 6, 2003 |

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

va-46072